

FORM PTO-1390
(REV. 12-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

INVENTOR'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

11146/11005

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/088713

INTERNATIONAL APPLICATION NO.
PCT/US00/25874INTERNATIONAL FILING DATE
21 September 2000
(21.09.00)PRIORITY DATE CLAIMED
25 September 1999
(25.09.99)

TITLE OF INVENTION

VISCOSITY MODULATING SUBSTANCE AND USE THEREOF

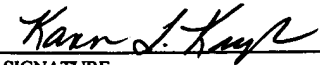
APPLICANT(S) FOR DO/EO/US
CARL V. MANION

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

U.S. APPLICATION NO. (if known) 10/08871 INTERNATIONAL APPLICATION NO. PCT/US00/25874		ATTORNEY'S DOCKET NUMBER 11146/11005																
21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... \$1040.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =		CALCULATIONS PTO USE ONLY																
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).		\$ 890.00																
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 20%;">NUMBER FILED</th> <th style="width: 20%;">NUMBER EXTRA</th> <th style="width: 20%;">RATE</th> <th style="width: 20%;">\$</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>14 - 20 =</td> <td>0</td> <td>x \$18.00</td> <td>\$</td> </tr> <tr> <td>Independent claims</td> <td>5 - 3 =</td> <td>2</td> <td>x \$84.00</td> <td>\$ 168.00</td> </tr> </tbody> </table>		CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	Total claims	14 - 20 =	0	x \$18.00	\$	Independent claims	5 - 3 =	2	x \$84.00	\$ 168.00	\$ 130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$														
Total claims	14 - 20 =	0	x \$18.00	\$														
Independent claims	5 - 3 =	2	x \$84.00	\$ 168.00														
MULTIPLE DEPENDENT CLAIM(S) (if applicable) + \$280.00		\$																
TOTAL OF ABOVE CALCULATIONS =		\$ 1188.00																
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.		\$ 1188.00 + (594.00)																
SUBTOTAL =		\$ 594.00																
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).		\$ -0-																
TOTAL NATIONAL FEE =		\$ -0-																
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +		\$ -0-																
TOTAL FEES ENCLOSED =		\$ 594.00																
		Amount to be refunded:	\$															
		charged:	\$															
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>18-1260</u> in the amount of \$ <u>594.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>18-1260</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.																		
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.																		
SEND ALL CORRESPONDENCE TO: SIDLEY AUSTIN BROWN & WOOD LLP. 717 North Harwood, Suite 3400 Dallas, Texas 75201		<div style="text-align: center;">  SIGNATURE Karen L. Knezek NAME 39,253 REGISTRATION NUMBER </div>																

10/088713

JC20 Rec'd PCT/PTO 20 MAR 2002

SIDLEY AUSTIN BROWN & WOOLLLP

CHICAGO
LOS ANGELES
NEW YORK
SAN FRANCISCO
SEATTLE
WASHINGTON, D.C.

717 NORTH HARWOOD
SUITE 3400
DALLAS, TEXAS 75201
TELEPHONE 214 981 3300
FACSIMILE 214 981 3400
www.sidley.com
FOUNDED 1866

BEIJING
HONG KONG
LONDON
SHANGHAI
SINGAPORE
TOKYO

WRITER'S DIRECT NUMBER
(214) 981-3381

WRITER'S E-MAIL ADDRESS
kknezek@sidley.com

March 20, 2002

Box PCT
Assistant Director For Patents
Washington, D.C. 20231

Re: National Phase Entry in the United States of
PCT Application No. PCT/US00/25874
International Filing Date: September 21, 2000
Priority Date: September 25, 1999
For: VISCOSITY MODULATING SUBSTANCE AND USE THEREOF
By: Carl V. MANION
Attorney Docket No. 11146/11005

EXPRESS MAIL MAILING LABEL NO.: EL 861131885 US
DATE OF DEPOSIT: MARCH 20, 2002

I hereby certify that this paper or fee is being deposited
with the United States Postal Service "Express Mail Post
Office to Addressee" service under 37 C.F.R. § 1.10 on the
dated indicated above and is addressed to:
BOX PCT, Assistant Director for Patents, Washington,
DC 20231.

Derrick Gordon

Name of Person Mailing Paper or Fee

Derrick Gordon
Signature

MARCH 20, 2002

Date of Signature

Dear Sir:

Enclosed for filing in connection with national phase entry in the United States of PCT patent
application PCT/US00/25874 is Form PTO-1390 (Transmittal Letter to the United States Designated/Elected
Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371) and a Preliminary Amendment.

Sincerely,

Karen L. Knezek

Karen L. Knezek
Registration No. 39,253
Agent for Applicant

KLK/fis
Enclosures